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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/682,713

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R. Mukund

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3251

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07/07/2006

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EXAMINER

OUELLETTE, JONATHAN P

ART UNIT

PAPER NUMBER

3629

DATE MAILED: 07/07/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/682,713

Applicant(s)

MUKUND, R.

Examiner

Jonathan Ouellette

Art Unit

3629

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 01 May 2006.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-40 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-40 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Response to Amendment

1. Claims 1, 9, 11, 13, 16, 17, 27, and 33 have been amended. Claims 1-40 remain pending in application 09/682,713.

Claim Rejections - 35 USC § 102

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

3. **Claims 1-40 are rejected under 35 U.S.C. 102(e) as being anticipated by Krishnan et al. (US 2002/0184068 A1).**
4. As per independent Claims 1 and 17, Krishnan discloses a method for managing, storing, and disseminating compliance assurance (CA) information using a web-based system including a server system coupled to a centralized interactive database and at least one client system (Figs.3-4, Para 0013), said method comprising: receiving CA information at the server from a client system (Figs. 7-9, complete questionnaire to determine risk profile and regulation applicability; Para 0016); storing CA information and a plurality of audit checklists within the centralized database (Fig. 11; Para 0022,

auditing checklists; Para 0124, reports equivalent to checklists); cross-referencing CA information (Para 0017); updating the centralized database periodically to maintain CA information (Para 0077; Fig.4, Para 0128: New Compliance Standards, and Para 0102: Customer information Database updated through cyclical questionnaire process); displaying on a client system a compliance calendar option (Fig.13), an audit tracking option (Fig.13, Tracking Action Items), and audit tool option (Para 0124, Para 0124, Fig.13, reports and policies links), wherein the compliance calendar option causes to be displayed on the client system CA tasks to be performed and corresponding CA deadlines for a selected location (Fig.13-15), wherein the audit tracking option prompts the user to input audit information for a selected location (Fig.14), and wherein the audit tool option prompts the user to select at least one audit checklist from the plurality of audit checklists stored within the database (Para 0124, operations and compliance reports equivalent to checklists); processing at the server an inquiry submitted by the user including a selection of one of the options displayed on the client system (Fig.13, user selects a reports or policies link; or Fig.14, user selects location and period); providing CA information in response to the inquiry (Fig.13, system provides reports for data entry; Fig.14, system provides location specific information); notifying users electronically of CA tasks to be performed at a selected location and corresponding CA deadlines (Fig.15, Today's Tasks, Key Reminders; Fig.18, Due Date; Para 0017, enabling information); and tracking the CA tasks to be performed at the selected location and the corresponding CA deadlines to ensure compliance (Fig.13; Para 0017-0018, track completion of tasks).

5. As per Claims 2 and 23, Krishnan discloses wherein receiving CA information comprises receiving at least one of business information, organizational information, site information, assigned contact person information, COE/department information, building information, CA audit tracking information, CA task information, CA calendar information, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information (Figs.8-10, user completes questionnaire - provides business and site information).
6. As per Claim 3, Krishnan discloses wherein cross-referencing CA information further comprises compiling a user schedule using CA information regarding tasks being performed (Figs. 13-18, schedule of tasks/action items).
7. As per Claims 4 and 25, Krishnan discloses wherein cross-referencing CA information further comprises creating a user CA calendar based on at least one of previously created user CA calendars and changes in CA audit tracking information (Para 0122, Fig.13, notifying user of overdue action items).
8. As per Claim 5, Krishnan discloses wherein providing CA information comprises: displaying information to a user identifying at least one of a site location and a CA task to be performed at a site location; and receiving an inquiry from the client system regarding at least one of a site location and a CA task to be performed at a site location (Fig.15, Worker desktop is location specific).

9. As per Claim 6, Krishnan discloses wherein providing CA information comprises:
displaying information on the client system regarding *at least one of a site location, CA calendar, CA audit tracking system, CA audit tool, and CA contacts information*; and
receiving an inquiry from the client system regarding *at least one of a site location, CA calendar, CA audit tracking system, CA audit tool, and CA contacts information* (Figs. 13-15).
10. As per Claim 7, Krishnan discloses wherein providing CA information comprises:
accessing the centralized database; searching the database regarding the specific inquiry;
retrieving information from the database; and transmitting the retrieved information to
the client system for display by the client system (Fig. 14, Inputting location information
would retrieve location specific information from database).
11. As per Claim 8, Krishnan discloses wherein providing CA information comprises
providing *at least one of* business information, organizational information, *site information*, assigned contact person information, COE/department information, building
information, CA audit tracking information, CA task information, CA calendar
information, CA task reminder information, frequency of reminder information,
environmental information, health and safety information, quality information, legal
information, human resources information, management information, and corporate
compliance information.
12. As per Claims 9 and 26, Krishnan discloses wherein notifying users comprises
transmitting an electronic message to the client system from the server system notifying

at least one user of a CA task to be performed and a CA audit tracking task to be performed (Fig.13, key reminders; Fig.14, alerts – web-based communication).

13. As per Claim 18, Krishnan discloses wherein said client system further comprises *at least one of*: a displaying component for displaying at least one of a *pull-down list*, a check box, and *hypertext link options relating to CA audit tracking information and CA scheduling information*; a sending component to send an inquiry to the server system so that the server system can process and download the requested information to the client system; a collection component for collecting CA information from users into the centralized database; a tracking component for tracking CA information; a displaying component for displaying CA information *on at least one site location*; a receiving component for receiving an inquiry from the client system regarding at least one of business information, organizational information, *site information*, assigned contact person information, COE/department information, building information, CA audit tracking information, CA task information, *CA calendar information*, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information; an accessing component for accessing the centralized database and causing the retrieved information to be displayed on the client system; and a notifying component for electronically notifying users of CA tasks and CA deadlines (Figs. 13-15, Desktop tools).

14. As per Claim 19, Krishnan discloses wherein said server system further comprises a receiving component for receiving an inquiry to provide information from one of a plurality of users (Fig.14, Location information request).
15. As per Claim 20, Krishnan discloses wherein said server system further comprises a processing component for searching and processing received inquiries against the database containing information collected by the collection component, and for cross-referencing at least one of CA calendar information, CA task information, and CA audit tracking information (Fig.14, provided the location specific information).
16. As per Claim 21, Krishnan discloses wherein said server system further comprises a retrieving component to retrieve CA information from the database (Fig.14, retrieving component inherently necessary to provide saved location specific information from a database in a computer-based system).
17. As per Claim 22, Krishnan discloses wherein said server system further comprises an information fulfillment component that downloads the requested information after retrieving from the database (Fig.3, Fig.14, information is downloaded to users computer as part of a web-based system).
18. As per Claim 24, Krishnan discloses wherein said server system further comprises at least one of a receiving component that receives information directly through the client system, and a receiving component that receives information in a pre-determined format established for inputting CA information (Fig.14, request received through user desktop, in drop-down box format).

19. As per **independent Claims 11 and 27**, Krishnan discloses a method for managing, storing, and disseminating compliance assurance (CA) information using a web-based system including a server system coupled to a centralized interactive database (Figs.3-4, Para 0013), at least one managerial user system (Fig.3, Manager Worker, Executive), and at least one client system (Fig. 3, component 300), said method comprising: receiving CA information at the server from a client system (Figs. 7-9, complete questionnaire to determine risk profile and regulation applicability; Para 0016), said CA information comprising site information including environmental information, health and safety information, legal information, corporate compliance information, and contacts information (Figs. 8-10 and 14, Para 0022); storing CA information and a plurality of audit checklists within the centralized database (Fig. 11; Para 0022, auditing checklists; Para 0124, reports equivalent to checklists); cross-referencing CA information (Para 0017); updating the centralized database periodically to maintain CA information (Para 0077; Fig.4, Para 0128: New Compliance Standards, and Para 0102: Customer information Database updated through cyclical questionnaire process); displaying on a client system a compliance calendar option (Fig.13), an audit tracking option (Fig.13, Tracking Action Items), and audit tool option (Para 0124, Para 0124, Fig.13, reports and policies links), wherein the compliance calendar option causes to be displayed on the client system CA tasks to be performed and corresponding CA deadlines for a selected location (Fig.13), wherein the audit tracking option prompts the user to input audit information for a selected location (Fig.14), and wherein the audit tool option prompts the user to select at least one audit checklist from the plurality of audit checklists stored

within the database (Para 0124, operations and compliance reports equivalent to checklists); processing at the server an inquiry submitted by the user including a selection of one of the options displayed on the client system (Fig.13, user selects a reports or policies link; or Fig.14, user selects location and period); providing CA information in response to the inquiry (Fig.13, system provides reports for data entry; Fig.14, system provides location specific information); notifying users electronically of CA tasks to be performed at a selected location and corresponding CA deadlines (Fig.15, Today's Tasks, Key Reminders; Fig.18, Due Date; Para 0017, enabling information); tracking the CA tasks to be performed at the selected location and the corresponding CA deadlines to ensure compliance (Fig.13; Para 0017-0018, track completion of tasks); and providing an electronic report of the CA tasks to be performed and the CA deadlines to the managerial user system (Fig.18, Para 0073).

20. As per Claims 12 and 29, Krishnan discloses wherein receiving CA information comprises receiving requested information from the client system relating to certain topics including *at least one of environment, health and safety, quality, legal, and corporate compliance* (Figs.8-10, user completes questionnaire - provides health and safety related information).
21. As per Claims 13 and 30, Krishnan discloses wherein processing at the server comprises using the audit tool to process the CA information to assure compliance with certain laws, rules, regulations, standards, and policies (Para 0016-0017).
22. As per Claims 14 and 31, Krishnan discloses wherein notifying users comprises transmitting an electronic message to the client system from the server system notifying

the user of the CA tasks to be performed within a time period shown on the CA calendar such that compliance with certain laws, rules, regulations, standards, and policies relating to certain topics including at least environment, health and safety, quality, legal, and corporate compliance is assured (Fig.15, Today's Tasks, Key Reminders; Fig.18, Due Date; Para 0017, enabling information).

23. As per Claims 15 and 32, Krishnan discloses wherein providing an electronic report comprises transmitting an electronic report to the managerial user system from the server system comprising a summary of the CA tasks performed at a site location for a time period shown on the CA calendar such that managerial oversight of the CA information is facilitated and compliance with certain laws, rules, regulations, standards, and policies relating to certain topics including at least one of environment, health and safety, quality, legal, and corporate compliance is assured (Fig.13, Overdue Action Items indicator – equivalent to summary report; Fig.18, Action Item report).
24. As per Claim 28, Krishnan discloses wherein providing CA information comprises: displaying option information on the client system regarding *at least one of a site location, CA calendar, CA audit tracking system, CA audit tool, and CA contacts information* (Figs.13-15); and receiving an inquiry from the client system regarding at least one of *a site location, CA calendar, CA audit tracking system, CA audit tool, and CA contacts information* (Figs.14).
25. As per **independent Claim 16**, Krishnan discloses a method for manipulating CA information using a web-based system including a server system coupled to a centralized interactive database and at least one client system (Figs.3-4, Para 0013), said method

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comprising: receiving CA information at the server (Figs. 7-9, complete questionnaire to determine risk profile and regulation applicability; Para 0016) comprising business information, organizational information, site information, assigned contact person information, COE/department information, building information, *CA audit tracking information*, CA task information, CA calendar information, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information (Figs. 8-10 and 14, Para 0022, equivalent information types); storing CA information and a plurality of audit checklists within the centralized database (Fig. 11; Para 0022, auditing checklists; Para 0124, reports equivalent to checklists); updating the centralized database with CA information comprising adding and deleting information so as to revise existing CA information including at least one of CA task information, CA calendar information, and CA audit tracking information (Para 0077; Fig.4, Para 0128: New Compliance Standards, and Para 0102: Customer information Database updated through cyclical questionnaire process); displaying on a client system a compliance calendar option (Fig.13), an audit tracking option (Fig.13, Tracking Action Items), and audit tool option (Para 0124, Para 0124, Fig.13, reports and policies links), wherein the compliance calendar option causes to be displayed on the client system CA tasks to be performed and corresponding CA deadlines for a selected location (Fig.13), wherein the audit tracking option prompts the user to input audit information for a selected location (Fig.14), and wherein the audit tool option prompts the user to select at least one audit checklist from the plurality of audit

checklists stored within the database (Para 0124, operations and compliance reports equivalent to checklists); processing at the server an inquiry submitted by the user including a selection of one of the options displayed on the client system (Fig.13, user selects a reports or policies link; or Fig.14, user selects location and period); providing CA information in response to the inquiry (Fig.13, system provides reports for data entry; Fig.14, system provides location specific information) comprising business information, organizational information, site information, assigned contact person information, COE/department information, building information, CA audit tracking information, CA task information, CA calendar information, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information (Figs. 11, 13-15, and 18, Para 0018-0021, system provides equivalent information), in response to an inquiry, including downloading requested information from the server system and displaying requested information on the client system, the inquiry including utilizing at least one pull-down lists, check boxes, and hypertext links (Fig.14); and notifying users of CA tasks to be performed at the selected location and the corresponding CA deadlines comprising transmitting an electronic message to the client system from the server system notifying the user of a CA task to be performed (Fig.15, Today's Tasks, Key Reminders; Fig.18, Due Date; Para 0017, enabling information).

26. As per **independent Claim 33**, Krishnan discloses a computer program embodied on a computer readable medium for managing, storing, and disseminating CA information

(Figs.3-4, Para 0013), said program comprising a code segment that receives CA information and then: maintains a database by adding, deleting and updating CA information (Figs. 7-9, complete questionnaire to determine risk profile and regulation applicability; Para 0016; Para 0077; Fig.4, Para 0128: New Compliance Standards, and Para 0102: Customer information Database updated through cyclical questionnaire process); displays on a client system a compliance calendar option (Fig.13), an audit tracking option (Fig.13, Tracking Action Items), and audit tool option (Para 0124, Para 0124, Fig.13, reports and policies links), wherein the compliance calendar option causes to be displayed on the client system CA tasks to be performed and corresponding CA deadlines for a selected location (Fig.13-15), wherein the audit tracking option prompts the user to input audit information for a selected location (Fig.14), and wherein the audit tool option prompts the user to select at least one audit checklist from the plurality of audit checklists stored within the database (Para 0124, operations and compliance reports equivalent to checklists); processing at the server an inquiry submitted by the user including a selection of one of the options displayed on the client system (Fig.13, user selects a reports or policies link; or Fig.14, user selects location and period); provides CA information in response to the inquiry (Fig.13, system provides reports for data entry; Fig.14, system provides location specific information); notifies users of CA tasks to be performed at a selected location and corresponding CA deadlines (Fig.15, Today's Tasks, Key Reminders; Fig.18, Due Date; Para 0017, enabling information); tracks the CA tasks to be performed at the selected location and the corresponding CA deadlines to ensure

compliance (Fig.13; Para 0017-0018, track completion of tasks); and provides a report of said CA tasks to be performed and said CA deadlines (Fig.18).

27. As per Claim 34, discloses a code segment that provides at least one of: an option to filter CA calendars based on *at least one of site information*, CA task type, assigned contact person, and time frame (*Fig.15, site specific calendar*); an option to filter CA audit tracking system based on at least one of *site information*, CA task type, assigned contact person, and *time frame* (*Fig.18*); and an option to filter CA audit tool system based on at least one of *site information*, CA task type, assigned contact person, and *time frame* (*Fig.15, Site Specific tracking of tasks*).
28. As per Claim 35, discloses a code segment that generates a display of *at least one of* business information, organizational information, *site information*, assigned contact person information, COE/department information, building information, CA audit tracking information, CA task information, CA calendar information, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information (Fig.14).
29. As per Claim 36, Krishnan discloses a code segment that accesses said database; a code segment that searches said database in response to an inquiry; a code segment that retrieves information from said database; a code segment that causes retrieved information to be displayed on a client system (Fig.14); a code segment that notifies a user of CA tasks and CA deadlines (Fig.13); and a code segment that causes a report

summarizing the CA tasks and the CA deadlines for a site location to be displayed on a managerial user system (Fig.18).

30. As per Claim 37, Krishnan discloses a code segment that monitors the security of the system by restricting access to authorized individuals (Para 0068, network security).
31. As per Claim 38, Krishnan discloses a code segment that cross-references said CA calendar when a CA task is performed (Fig.13, system determines if Action Items are overdue).
32. As per Claim 39, Krishnan discloses a code segment that cross-references said CA calendar to at least one previously created CA calendar when CA information is received (Para 0122, Fig.13, notifying user of overdue action items).
33. As per Claim 40, Krishnan discloses a code segment that cross-references said CA calendar with said CA audit tracking system information (Para 0122, Fig.13, notifying user of overdue action items).

Response to Arguments

34. Applicant's arguments filed 5/1/2006, with respect to Claims 1-40, have been considered but are moot in view of the new ground(s) of rejection.
35. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

36. A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

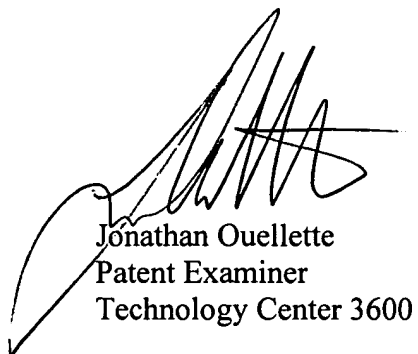
Conclusion

37. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jonathan Ouellette whose telephone number is (571) 272-6807. The examiner can normally be reached on Monday through Thursday, 8am - 5:00pm.
38. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Weiss can be reached on (571) 272-6812. The fax phone numbers for the organization where this application or proceeding is assigned (571) 273-8300 for all official communications.
39. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Office of Initial Patent Examination whose telephone number is (703) 308-1202.

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